

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTORS: Julio C. Bermudez  
Stefano Foresti  
Dwayne R. Westenskow  
James Agutter  
Debra Gondeck-Becker



ASSIGNEE: University of Utah

SERIAL NUMBER: ~~n/a~~ 09/457,068

DATE FILED: ~~n/a~~ 12/07/99

TITLE: METHOD AND APPARATUS FOR MONITORING DYNAMIC  
SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS  
OF CRITICAL FUNCTIONS

ATTORNEY DOCKET: 4203 P

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

**VERIFIED STATEMENT (DECLARATION)  
CLAIMING SMALL ENTITY STATUS**

**--INDEPENDENT INVENTOR--  
(37 CFR 1.9(c), (f) and 1.27(b))**

Honorable Assistant Commissioner:

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR § 1.9(c) for the purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS** described in a patent application filed herewith.

I have not assigned, granted, conveyed or licensed and I am not under any obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein are of my own knowledge and are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Signature of Inventor:



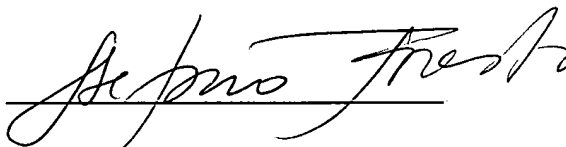
Name of Inventor:

Julio C. Bermudez

Date:

12-20-99

Signature of Inventor:



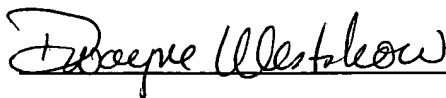
Name of Inventor:

Stefano Foresti

Date:

12-20-1999

Signature of Inventor:



Name of Inventor:

Dwayne R. Westenskow

Date:

12/20/99

Signature of Inventor:



Name of Inventor:

James Agutter

Date:

12/20/99

Signature of Inventor:



Name of Inventor:

Debra Gondeck-Becker

Date:

12/9/99

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**--SMALL BUSINESS CONCERN--  
(37 CFR 1.9(f) AND 1.27(c))**

Honorable Assistant Commissioner:

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern identified below and that I am  
empowered to act on behalf of said corporation:

NAME OF CONCERN: University of Utah Research Foundation

ADDRESS OF CONCERN: 210 Park Building

Salt Lake City, Utah 84112

I hereby declare that the above organization qualifies as a nonprofit organization as defined in 37 CFR § 1.9(f) and § 1.27(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code in that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e).

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS** by the above-named inventors described in

- ☐ the specification filed with this declaration.
- ☒ application Serial No. 09/457,068, filed 12/07/99.
- ☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

- ☒ no such person, concern or organization exists.
- ☐ each such person, concern or organization is listed below:

NAME: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
\_\_\_\_\_

- ☐ INDIVIDUAL
- ☐ SMALL BUSINESS ENTITY
- ☐ NONPROFIT ORGANIZATION

I acknowledge the duty of the small business concern to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the due date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are

punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

On Behalf of: University of Utah Research Foundation

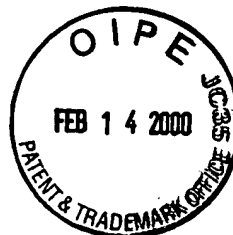
NAME OF PERSON SIGNING: Brent Brown

TITLE OF PERSON SIGNING: Technology Manager

SIGNATURE: Brent Brown DATE: 02-11-00

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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Stefano Foresti  
Dwayne R. Westenskow  
James Agutter  
Debra Gondeck-Becker



ASSIGNEE: University of Utah

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Honorable Assistant Commissioner:

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern identified below and that I am  
empowered to act on behalf of said corporation:

NAME OF CONCERN: University of Utah

ADDRESS OF CONCERN: 421 Wakara Way, Suite 170

Salt Lake City, Utah 84108

I hereby declare that the above organization qualifies as a nonprofit organization as defined in 37 CFR § 1.9(f) and § 1.27(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code in that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e).

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS** by the above-named inventors described in

- ☐ the specification filed with this declaration.
- ☒ application Serial No. 09/457,068, filed 12/07/99.
- ☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

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- ☐ no such person, concern or organization exists.
- ☒ each such person, concern or organization is listed below:

NAME: University of Utah Research Foundation  
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Salt Lake City, Utah 84112

- ☐ INDIVIDUAL
- ☐ SMALL BUSINESS ENTITY
- ☒ NONPROFIT ORGANIZATION

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States

Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

On Behalf of: University of Utah

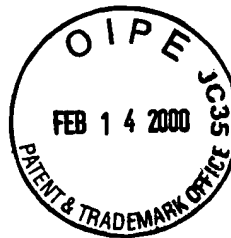
NAME OF PERSON SIGNING: Brent Brown

TITLE OF PERSON SIGNING: Technology Manager

SIGNATURE: Brent Brown DATE: 02-11-00

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ASSIGNEE: University of Utah

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Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

**DECLARATION FOR PATENT APPLICATION**

Honorable Assistant Commissioner:

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHOD AND APPARATUS FOR MONITORING DYNAMIC SYSTEMS USING N-DIMENSIONAL REPRESENTATIONS OF CRITICAL FUNCTIONS** the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby appoint Lloyd W. Sadler (Reg. No. 40,154) and Daniel P. McCarthy (Reg. No. 36,600) as my representatives and attorneys or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith. All communications should be directed to Mr. Sadler at the following address or telephone number:

Lloyd W. Sadler  
MCCARTHY & SADLER, LC  
39 Exchange Place, Suite 100  
Salt Lake City, Utah 84111  
(801) 323-9399

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor: Julio C. Bermudez

Residence of inventor:

Address: 133 Third Avenue, Apartment 5  
City: Salt Lake City  
State: Utah 84103  
Citizenship: Argentina

Post Office Address of inventor:

Address: 133 Third Avenue, Apartment 5  
City: Salt Lake City  
State: Utah 84103

Inventor's Signature:

Julio Bermudez  
12-20-99

Date:

Full name of inventor: Stefano Foresti

Residence of inventor:

Address: 1432 East Logan Avenue  
City: Salt Lake City  
State: Utah 84105  
Citizenship: Italy

Post Office Address of inventor:

Address: 1432 East Logan Avenue  
City: Salt Lake City  
State: Utah 84105

Inventor's Signature:

*Dwayne R. Westenskow*  
12-20-1999

Date:

Full name of inventor:

Dwayne R. Westenskow

Residence of inventor:

Address: 3439 Winesap Road  
City: Salt Lake City  
State: Utah  
Citizenship: USA

Post Office Address of inventor:

Address: 3439 Winesap Road  
City: Salt Lake City  
State: Utah

Inventor's Signature:

*Dwayne R. Westenskow*  
12-20-1999

Date:

Full name of inventor:

James Agutter

Residence of inventor:

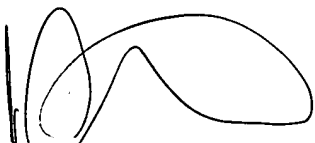
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Citizenship: USA

Post Office Address of inventor:

Address: 528 N. Wall St.  
City: Salt Lake City  
State: Utah

Inventor's Signature:

Date:

  
12/10/99

Full name of inventor:

Debra Gondeck-Becker

Residence of inventor:

Address:

300 Central Avenue South

City:

Wayzata

State:

Minnesota 55391

Citizenship:

Post Office Address of inventor:

Address:

300 Central Avenue South

City:


Wayzata

State:

Minnesota 55391

Inventor's Signature:

Date:

  
12/9/99